

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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**Applicant(s):** Chun He, et al  
**Title:** Optical add/drop apparatus and the method for making the same  
**Serial No.:** 10/698,176  
**Filing Date:** 10/30/2003  
**Examiner:** Mohammed A. Hasan  
**Confirmation No.:** 9905  
**Group Art Unit:** 2873  
**Docket No:** 2107-28

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September 5, 2002

Mail Stop: Non-Fee Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**  
UNDER 37 CFR 1.56 and 1.97(b)

Dear Sir:

The references listed in the attached PTO Form 1449, a copy of which is *not* attached and available from the USPTO website, may be material to examination of the above-identified patent application. The submission herewith does not constitute an admission of the references as the prior art or an exhaustive search performed in the art. The applicants submit these references in compliance with their duty of disclosure pursuant to 37 CFR 1.56 and 1.97. It is respectfully requested that the cited references be considered and that the enclosed copy of Information Disclosure Statement be initialed by the Examiner to indicate such consideration and a copy thereof returned to the applicant.

This Information Disclosure Statement is filed after the mailing date of a first Office Action on the merits. Accordingly, the undersigned authorizes USPTO to charge our deposit account No. 502436 (Order No.: 2107-28IDS) \$180.00 or any fees that may be due.

Please telephone the undersigned at (408)777-8873, if there are any questions.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to "Commissioner for Patents P.O. Box 1450, Alexandria, VA 22313-1450", on September 5, 2004.

Name: Joe Zheng

Signature: 

Respectfully submitted;



Joe Zheng  
Reg.: No. 39,450

<b>Form PTO-1449</b> (Modified)		<b>Atty Docket No.:</b> 2107-28		<b>Application No.:</b> 10/698,176			
<b>List of Patents and Publications Statement</b> (Use several sheets if necessary)				<b>Applicant:</b> Chun He, et al			
				<b>Filing Date:</b> 10/30/2003			
<b>REFERENCE DESIGNATION</b>				<b>U.S. PATENT DOCUMENTS</b>			
<b>Examiner Initials</b>		<b>Document No.</b>	<b>Date</b>	<b>Patentee</b>	<b>Class</b>	<b>Sub-Class</b>	<b>Filing date if appropriate</b>
	A.	5,612,824	Mar 18, 1997	Si, et al.			May 16, 1995
	B.	5,799,121	Aug 25, 1998	Duck			Feb 14, 1997
	C.	5,583,683	Dec 10, 1996	Scobey			Jun 15, 1995
	D.	20030103725	Jun 5, 2003	Li			Dec 4, 2001
	E.						
	F.						
	G.						

<b>FOREIGN PATENT DOCUMENTS</b>							
No.		Document No.	Date	Country	Class	Sub-Class	Translation
	H.						
	I.						
	J.						
	K.						
	L.						
	M.						
	N.						

<b>OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)</b>		
	O.	
	U.	
	V.	
	W.	
<b>Examiner</b>		<b>Date Considered</b>
<p><b>EXAMINER:</b> Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>		